



STATE OF NEW YORK

NOTICE OF APPEARANCE

Section 166 of the Executive Law requires a regulatory agency to maintain for public inspection, a record of who appears before it, for a fee as a third party (i.e., an attorney, an agent, lobbyist*, or representative) on behalf of a person or organization subject to the regulatory jurisdiction of the agency. This usually occurs when the third party's client is involved in an enforcement, formal permit, or application matter. *This form is subject to all the rules and regulations of the Freedom of Information Law. Information that is confidential as a matter of law need not be furnished.*

Agency: _____

Date: _____

Division/Bureau: _____

1. Name of individual appearing: _____

Address: _____

Telephone: _____

2. Client represented: _____

Address: _____

Telephone: _____

3. Subject of appearance: _____

Regulatory/Enforcement

Lobbying

4. Acting in capacity of:

Attorney	Lobbyist
_____	_____
Agent	Other (describe)
_____	_____

5. Are you being compensated? Yes No If Yes: Fee Salary

6. Signature of individual appearing:

7. Agency official (print name):

Signature:

*A LOBBYIST is a person or organization, other than a New York State government employee acting in an official capacity, who appears for the purpose of influencing the adoption or rejection of proposed rules, regulations, rates, legislation, including the

State budget or the specification or award of a State Procurement Contract. An "appearance" for lobbying purposes can be a personal visit, letter, telephone call, conversation at a meeting, or any other type of contact, but does not include "on the record" proceedings or hearings.

INSTRUCTIONS FOR FILLING OUT THE STATE OF NEW YORK NOTICE OF APPEARANCE, FILED QUARTERLY WITH THE JOINT COMMISSION ON PUBLIC ETHICS:

Agency is NYS Department of State Date is the Date of Appearance before the ALJ

Division/Bureau is Office of Administrative Hearings

1. Name of individual appearing, etc.: self-explanatory
2. Client represented, etc.: self-explanatory
3. Subject of appearance: THIS MUST BE FILLED-IN COMPLETELY.
This would be a good place to reference the "DOS v. _____" file name.
4. Acting in capacity of, etc.: self-explanatory
5. Are you being compensated, etc.? THIS MUST BE FILLED-IN COMPLETELY
6. Signature of individual appearing: THIS MUST BE FILLED-IN COMPLETELY

7. Agency official: This is the name of the Administrative Law Judge who the person appears before, and of course, we must have a signature. This can be filled in ahead of time.

If there are any questions concerning this form, please contact the NYS Department of State, Office of Administrative Hearings at (518) 486-6423. Thank you.